

# Splitting families and forcing

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Received 25 March 2006; received in revised form 28 June 2006; accepted 12 August 2006

Available online 9 October 2006

Communicated by A. Kechris

## Abstract

According to [M.S. Kurilić, Cohen-stable families of subsets of the integers, *J. Symbolic Logic* 66 (1) (2001) 257–270], adding a Cohen real destroys a splitting family  $\mathcal{S}$  on  $\omega$  if and only if  $\mathcal{S}$  is isomorphic to a splitting family on the set of rationals,  $\mathbb{Q}$ , whose elements have nowhere dense boundaries. Consequently,  $|\mathcal{S}| < \text{cov}(\mathcal{M})$  implies the Cohen-indestructibility of  $\mathcal{S}$ . Using the methods developed in [J. Brendle, S. Yatabe, Forcing indestructibility of MAD families, *Ann. Pure Appl. Logic* 132 (2–3) (2005) 271–312] the stability of splitting families in several forcing extensions is characterized in a similar way (roughly speaking, destructible families have members with ‘small generalized boundaries’ in the space of the reals). Also, it is proved that a splitting family is preserved by the Sacks (respectively: Miller, Laver) forcing if and only if it is preserved by some forcing which adds a new (respectively: an unbounded, a dominating) real. The corresponding hierarchy of splitting families is investigated.  
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**Keywords:** Splitting families; Forcing; Cohen forcing; Random forcing; Sacks forcing; Miller forcing; Laver forcing; Hechler forcing

## 1. Introduction

Let  $\omega$  be the set of natural numbers and  $[\omega]^\omega$  the family of its infinite subsets. We will say that the set  $S \in [\omega]^\omega$  splits the set  $X \in [\omega]^\omega$  if and only if  $X \cap S$  and  $X \setminus S$  are infinite sets. A family  $\mathcal{S} \subset [\omega]^\omega$  is called a *splitting family* on  $\omega$  if and only if each set  $X \in [\omega]^\omega$  is split by some element  $S$  of  $\mathcal{S}$ . It is well-known that the ‘small cardinal’  $\mathfrak{s} = \min\{|\mathcal{S}| : \mathcal{S} \text{ is a splitting family on } \omega\}$  is uncountable, so  $\aleph_0 < \mathfrak{s} \leq \mathfrak{c}$ .

If  $\mathbb{P}$  is a forcing notion, a splitting family  $\mathcal{S}$  on  $\omega$  will be called  $\mathbb{P}$ -stable iff  $\mathcal{S}$  remains a splitting family in each generic extension (of the ground model) by  $\mathbb{P}$ . A consequence of Theorem 7 of [8] is the following characterization of Cohen-stable splitting families.

**Theorem 1.** *Let  $\mathbb{R}$  be the real line,  $\mathbb{Q}$  the space of rationals and  $\mathbb{C}$  the Cohen forcing. If  $\mathcal{S}$  is a splitting family on  $\omega$ , then the following conditions are equivalent:*

- (a)  $\mathcal{S}$  is  $\mathbb{C}$ -stable;
- (b) For each bijection  $f : \mathbb{Q} \rightarrow \omega$  there exists  $S \in \mathcal{S}$  such that, in the space  $\mathbb{R}$ , the set  $\overline{f^{-1}[S]} \cap \overline{f^{-1}[\omega \setminus S]}$  is not nowhere dense;
- (c) For each bijection  $f : \mathbb{Q} \rightarrow \omega$  there exists  $S \in \mathcal{S}$  such that, in the space  $\mathbb{Q}$ , the boundary  $\partial f^{-1}[S]$  is not nowhere dense.

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The corresponding ‘forcing-free’ characterization of  $\mathbb{C}$ -stable maximal almost disjoint (mad) families (Theorem 3 of [8], obtained independently by Hrušák in [4]) was generalized for several real forcings by Brendle and Yatabe in [2] and for mad families on uncountable cardinals in [9]. In the present paper, using the technique developed in [2], we generalize Theorem 1 for several forcing notions and investigate forcing stability of splitting families.

In particular we will consider six well-known forcing notions: Sacks, Miller, Laver, Cohen, Solovay and Hechler forcing, denoted by  $\mathbb{S}$ ,  $\mathbb{M}$ ,  $\mathbb{L}$ ,  $\mathbb{C}$ ,  $\mathbb{B}$  and  $\mathbb{D}$  respectively, whose definitions are similar in the following sense. First, if  $\mathbb{P} \in \{\mathbb{S}, \mathbb{M}, \mathbb{L}, \mathbb{C}\}$ , then  $\mathbb{P}$  can be represented as a set of subtrees of the reversed tree  $\langle \mathcal{T}_{\mathbb{P}}, \supset \rangle$ , where  $\mathcal{T}_{\mathbb{P}} \in \{^{<\omega}2, ^{<\omega}\omega\}$ . Secondly, to any of these forcings,  $\mathbb{P}$ , we can adjoin a set of reals  $\mathbb{R}_{\mathbb{P}} \in \{2^\omega, \omega^\omega, \omega^{\uparrow\omega}\}$  (where  $\omega^{\uparrow\omega}$  denotes the set of all increasing functions from  $\omega$  to  $\omega$ ) and a  $\sigma$ -ideal  $\mathbb{I}_{\mathbb{P}}$  of subsets of  $\mathbb{R}_{\mathbb{P}}$  such that the ordering  $\mathbb{P}$ , the complete Boolean algebra  $\langle \text{Borel}(\mathbb{R}_{\mathbb{P}})/\mathbb{I}_{\mathbb{P}}, \leq \rangle$  and the poset  $\langle \text{Borel}(\mathbb{R}_{\mathbb{P}}) \setminus \mathbb{I}_{\mathbb{P}}, \subset \rangle$  are forcing-equivalent orderings. As in [2] such forcings will be called *real forcings*. The situation is described by the following table (the notation will be explained in the sequel).

$\mathbb{P}$	$\mathcal{T}_{\mathbb{P}}$	a tree $T \subset \mathcal{T}_{\mathbb{P}}$ is an element of $\mathbb{P}$ iff	$\mathbb{R}_{\mathbb{P}}$	a subset $I \subset \mathbb{R}_{\mathbb{P}}$ belongs to the ideal $\mathbb{I}_{\mathbb{P}}$ iff
$\mathbb{S}$ (Sacks)	$<^\omega 2$	below each $\varphi \in T$ there is $\psi \in T$ having 2 predecessors in $T$	$2^\omega$	$I$ is countable
$\mathbb{M}$ (Miller)	$<^\omega \omega$	below each $\varphi \in T$ there is $\psi \in T$ having $\aleph_0$ predecessors in $T$	$\omega^\omega$	$I$ is $\leq^*$ -bounded
$\mathbb{L}$ (Laver)	$<^\omega \omega$	there is $\varphi_T \in T$ compatible with all $\psi \in T$ , such that each $\varphi \in T \cap \varphi_T \downarrow$ has $\aleph_0$ predecessors in $T$	$\omega^\omega$	$I$ is not strongly dominating
$\mathbb{C}$ (Cohen)	$<^\omega 2$	there is $\varphi_T \in T$ such that $T = \varphi_T \uparrow \cup \varphi_T \downarrow$	$2^\omega$	$I$ is meager
$\mathbb{B}$ (random)	–	–	$2^\omega$	$I$ is of measure zero
$\mathbb{D}$ (Hechler)	–	–	$\omega^{\uparrow\omega}$	$I$ is meager in the space $\langle \omega^{\uparrow\omega}, \mathcal{O}_{\mathbb{D}} \rangle$

We remind the reader that if  $f, g : \omega \rightarrow \omega$  then  $f \leq^* g$  means that  $f(n) \leq g(n)$  for all but finitely many  $n \in \omega$ . The set  $I \subset \omega^\omega$  is  $\leq^*$ -bounded iff there is  $g \in \omega^\omega$  such that  $f \leq^* g$  for all  $f \in I$ . The set  $I \subset \omega^\omega$  is  $\leq^*$ -dominating iff for each  $f \in \omega^\omega$  there is  $g \in I$  such that  $f \leq^* g$ . The set  $X \subset \omega^\omega$  is *strongly dominating* iff for each  $F : ^{<\omega}\omega \rightarrow \omega$  there exists  $x \in X$  such that  $F_x \leq^* x$ , where the function  $F_x : \omega \rightarrow \omega$  is defined by:  $F_x(n) = F(x \upharpoonright n)$ , for all  $n \in \omega$ . If  $(\mathbb{P}, \leq)$  is a partial ordering and  $p \in \mathbb{P}$ , then  $p \downarrow = \{q \in \mathbb{P} : q \leq p\}$  and  $p \uparrow = \{q \in \mathbb{P} : p \leq q\}$ . The topology  $\mathcal{O}_{\mathbb{D}}$  on the set  $\omega^{\uparrow\omega}$  is described in [2]. Finally, ‘The f.c.e.’ abbreviates ‘The following conditions are equivalent’ and  $f : X \xrightarrow{\text{fin-1}} Y$  denotes ‘ $f$  is a finite-to-one function from  $X$  to  $Y$ ’.

## 2. A characterization of stable splitting families

First, we introduce some notation and terminology and list some well known facts. Let  $\mathcal{T}$  be the tree  $<^\omega 2$  or the tree  $<^\omega \omega$  and let  $\mathbb{R}_{\mathcal{T}}$  be the corresponding set of reals, i.e.  $\mathbb{R}_{\mathcal{T}} = 2^\omega$  or  $\mathbb{R}_{\mathcal{T}} = \omega^\omega$ . For a real  $x \in \mathbb{R}_{\mathcal{T}}$  let  $\tilde{x} = \{x \upharpoonright n : n \in \omega\}$  be the corresponding branch in  $\mathcal{T}$ . Then for a subset  $\mathcal{B} \subset \mathcal{T}$  let

$$G_\delta(\mathcal{B}) = \{x \in \mathbb{R}_{\mathcal{T}} : |\tilde{x} \cap \mathcal{B}| = \aleph_0\}.$$

Clearly, the sets  $[\varphi] = \{x \in \mathbb{R}_{\mathcal{T}} : \varphi \subset x\}$ ,  $\varphi \in \mathcal{T}$ , form a clopen base for the standard topology on  $\mathbb{R}_{\mathcal{T}}$  and  $G_\delta(\mathcal{B}) = \bigcap_{m \in \omega} \bigcup_{\varphi \in \mathcal{B}, |\varphi| \geq m} [\varphi]$  is a  $G_\delta$ -set, so,  $G_\delta(\mathcal{B})$  is a Borel subset of  $\mathbb{R}_{\mathcal{T}}$ . If  $\mathbb{I} \subset P(\mathbb{R}_{\mathcal{T}})$  is an ideal, then a set  $\mathcal{B} \subset \mathcal{T}$  will be called *positive* iff  $G_\delta(\mathcal{B}) \notin \mathbb{I}$  and  $\mathcal{T}^+$  will be the collection of all positive subsets of  $\mathcal{T}$ . According to [2], p. 278, for each forcing notion  $\mathbb{P}$  considered here the set  $\{G_\delta(\mathcal{B}) : \mathcal{B} \in \mathcal{T}_{\mathbb{P}}^+\}$  is dense in  $\mathbb{P}$  and, moreover, there holds

$$\forall \mathcal{B} \in \mathcal{T}_{\mathbb{P}}^+ \quad \forall p \leq G_\delta(\mathcal{B}) \quad \exists \mathcal{B}' \in \mathcal{T}_{\mathbb{P}}^+ \quad (\mathcal{B}' \subset \mathcal{B} \wedge G_\delta(\mathcal{B}') \leq p). \quad (*)$$

According to Lemmas 42.2 and 42.3 of [5] there holds

**Fact 1.** Let  $M \subset N$  be transitive models of ZFC. If in  $M$  the set  $B$  is a Borel subset of the Baire space  $\omega^\omega$  and  $c$  is a Borel code of  $B$  belonging to  $M$  and if by  $B^N$  we denote the  $N$ -evaluation of  $c$ , then:

- (a) The evaluation  $B^N$  does not depend on the choice of the code  $c$ . Also,  $B \subset B_1$  implies  $B^N \subset B_1^N$ .
- (b) For Borel sets  $B_1, B_2 \in M$  there holds  $[B_1 \circ B_2]^N = B_1^N \circ B_2^N$ , for  $\circ \in \{\cup, \cap, \setminus\}$ .
- (c) If  $\langle B_n : n \in \omega \rangle$  is a sequence of Borel sets belonging to  $M$ , then there holds  $[\bigcup_{n \in \omega} B_n]^N = \bigcup_{n \in \omega} B_n^N$  and  $[\bigcap_{n \in \omega} B_n]^N = \bigcap_{n \in \omega} B_n^N$ .

So, since  $[G_\delta(B)]^N = \bigcap_{m \in \omega} \bigcup_{n \geq m} \bigcup_{\varphi \in \mathcal{B} \cap {}^n \omega} [\varphi]^N$  and  $[\varphi]^N = [\varphi] \cap N$ , we have:

**Fact 2.** Let  $M \subset N$  be transitive models of ZFC. If  $\mathcal{B} \subset {}^{<\omega} \omega$  and  $\mathcal{B} \in M$ , then for each real  $x \in \omega^\omega \cap N$  there holds:  $x \in [G_\delta(\mathcal{B})]^N$  iff  $|\tilde{x} \cap \mathcal{B}| = \aleph_0$ .

Clearly, the previous two facts remain true if we replace the Baire space  $\omega^\omega$  by the Cantor cube  $2^\omega$ .

**Fact 3** (Zapletal, see [12] or [2], Lemma 2.1.1). If  $\mathbb{P} = \text{Borel}(\mathbb{R}_{\mathbb{P}}) \setminus \mathbb{I}_{\mathbb{P}}$  is a real forcing and  $G$  a  $\mathbb{P}$ -generic filter over  $V$ , then there is a real  $x \in V[G]$  such that for each  $B \in \text{Borel}(\mathbb{R}_{\mathbb{P}})$  there holds:

$$B \in G \Leftrightarrow x \in B^{V[G]},$$

where  $B^{V[G]}$  is the  $V[G]$ -evaluation of a Borel code  $c \in V$  of  $B$ .

If  $\mathbb{P}$  is a forcing notion, then a  $\mathbb{P}$ -name of the form  $\tau = \bigcup_{n \in \omega} \{\check{n}\} \times A_n$ , where  $A_n$  are antichains in  $\mathbb{P}$ , is called a nice name for a subset of  $\omega$ . Let  $\text{Nn}(\check{\omega})$  be the set of all such names and let  $\text{Nn}^\omega(\check{\omega}) = \{\tau \in \text{Nn}(\check{\omega}) : 1_{\mathbb{P}} \Vdash |\tau| = \check{\omega}\}$ . If  $\tau \in \text{Nn}(\check{\omega})$  and  $r \in \mathbb{P}$ , let  $\tau_r = \{n \in \omega : \exists s \leq r \ s \Vdash \check{n} \in \tau\}$ . The following standard fact will be used in the sequel.

**Fact 4.** Let  $\mathbb{P}$  be a forcing notion.

- (a) If  $\tau \in \text{Nn}(\check{\omega})$ ,  $p \in \mathbb{P}$  and  $S \subset \omega$ , then  $p \Vdash |\tau \cap \check{S}| = \check{\omega}$  if and only if  $\forall r \leq p \ |\tau_r \cap S| = \omega$ .
- (b) If  $\varphi$  is a formula of ZFC, then  $1_{\mathbb{P}} \Vdash \forall X \in [\check{\omega}]^{\check{\omega}} \ \varphi(X, \dots)$  if and only if  $\forall \tau \in \text{Nn}^\omega(\check{\omega}) \ 1_{\mathbb{P}} \Vdash \varphi(\tau, \dots)$ .

The following property of real forcings, distinguished by Brendle and Yatabe in [2], is crucial for obtaining of our results.

**Definition 1** (Brendle and Yatabe [2]). A real forcing  $\mathbb{P} = \text{Borel}(\mathbb{R}_{\mathbb{P}}) \setminus \mathbb{I}_{\mathbb{P}}$  has *weak fusion* if for each  $\tau \in \text{Nn}(\check{\omega})$  and each  $p \in \mathbb{P}$ , where  $p \Vdash |\tau| = \check{\omega}$ , there exist

- (wf1) disjoint antichains  $\mathcal{B}_n \subset \mathcal{T}_{\mathbb{P}}$ ,  $n \in \omega$ , such that  $\mathcal{B} = \bigcup_{n \in \omega} \mathcal{B}_n$  is a positive set and  $G_\delta(\mathcal{B}) \leq p$ ;
- (wf2) antichains  $\mathcal{A}_n \subset \mathbb{P}$ ,  $n \in \omega$ ;
- (wf3) injections  $h_n : \mathcal{B}_n \rightarrow \mathcal{A}_n$ ,  $n \in \omega$ , such that for each positive set  $\mathcal{B}' \subset \mathcal{B}$  the set  $M_{\mathcal{B}'} = \{n \in \omega : \exists \varphi \in \mathcal{B}_n \cap \mathcal{B}' \ ([\varphi] \cap G_\delta(\mathcal{B}') \cap h_n(\varphi) \notin \mathbb{I}_{\mathbb{P}})\}$  is infinite;
- (wf4) an injection  $g : \bigcup_{n \in \omega} \{n\} \times \mathcal{A}_n \rightarrow \omega$  such that for each  $\langle n, s \rangle \in \text{dom}(g)$  there holds  $s \Vdash g(n, s) \in \tau \setminus \check{n}$ .

If the condition ‘ $g$  is one-to-one’ is replaced by the condition ‘ $g$  is finite-to-one’, then the definition of *very weak fusion* is obtained.

**Lemma 1.** Let  $\mathbb{P} = \text{Borel}(\mathbb{R}_{\mathbb{P}}) \setminus \mathbb{I}_{\mathbb{P}}$  be a real forcing satisfying weak fusion and  $(*)$ , let  $p \in \mathbb{P}$  and  $\tau \in \text{Nn}(\check{\omega})$ , where  $p \Vdash |\tau| = \check{\omega}$ . If  $\mathcal{B}_n, \mathcal{A}_n, h_n$  and  $g$  are the objects provided by weak fusion and  $\mathcal{B} = \bigcup_{n \in \omega} \mathcal{B}_n$ , then:

- (a) The function  $f : \mathcal{B} \rightarrow \omega$ , where  $f(\varphi) = g(n, h_n(\varphi))$  for  $\varphi \in \mathcal{B}_n$ , is an injection;
- (b) If  $S \subset \omega$  and  $G_\delta(f^{-1}[S]) \notin \mathbb{I}_{\mathbb{P}}$ , then  $G_\delta(f^{-1}[S]) \leq p$  and  $G_\delta(f^{-1}[S]) \Vdash |\tau \cap \check{S}| = \check{\omega}$ .

If instead of weak fusion the forcing  $\mathbb{P}$  has very weak fusion, then the function  $f$  defined in (a) is finite-to-one and (b) holds again.

**Proof.** (a) Since the sets  $\mathcal{B}_n$ ,  $n \in \omega$ , are disjoint, the function  $f$  is well-defined. Let  $\varphi, \psi \in \mathcal{B}$ ,  $\varphi \neq \psi$  and  $\varphi \in \mathcal{B}_m$ ,  $\psi \in \mathcal{B}_n$ . If  $m \neq n$ , then  $\langle m, h_m(\varphi) \rangle \neq \langle n, h_n(\psi) \rangle$  and if  $m = n$ , then  $\langle n, h_n(\varphi) \rangle \neq \langle n, h_n(\psi) \rangle$ , because  $h_n$  is an injection. Now  $f(\varphi) \neq f(\psi)$ , since  $g$  is an injection too.

(b) Let  $S \subset \omega$  and  $G_\delta(f^{-1}[S]) \notin \mathbb{I}_{\mathbb{P}}$ . The operator  $G_\delta$  is monotone, so, since  $f^{-1}[S] \subset \mathcal{B}$  and since (wf1) holds, we have  $G_\delta(f^{-1}[S]) \leq p$ . According to Fact 4 it remains to be proved that

$$\forall r \leq G_\delta(f^{-1}[S]) \ |\tau_r \cap S| = \omega. \quad (1)$$

Let  $r \leq G_\delta(f^{-1}[S])$ . By (\*), there exists  $B' \subset f^{-1}[S]$  such that  $\mathbb{I}_P \not\leq G_\delta(B') \leq r$ . By (wf3) the set  $M_{B'} = \{n \in \omega : \exists \varphi_n \in \mathcal{B}_n \cap B' [\varphi_n] \cap G_\delta(B') \cap h_n(\varphi_n) \notin \mathbb{I}_P\}$  is infinite. We will prove that

$$\{f(\varphi_n) : n \in M_{B'}\} \subset \tau_r \cap S. \quad (2)$$

Firstly,  $\varphi_n \in B' \subset f^{-1}[S]$ , so  $f(\varphi_n) \in S$ , for all  $n \in M_{B'}$ . Secondly, by (wf4) we have  $h_n(\varphi_n) \Vdash f(\varphi_n) \in \tau$ , so, for  $t = [\varphi_n] \cap G_\delta(B') \cap h_n(\varphi_n)$  there holds  $t \Vdash f(\varphi_n) \in \tau$ . Since  $t \leq G_\delta(B') \leq r$  we have  $\exists t \leq r \ t \Vdash f(\varphi_n) \in \tau$ , that is  $f(\varphi_n) \in \tau_r$ . Thus (2) is true and, since  $f$  is one-to-one, we have  $|\tau_r \cap S| = \omega$ . The proof of (1) is finished.  $\square$

Now, a characterization of stable splitting families for a wide class of real forcings follows:

**Theorem 2.** Let  $\mathbb{P} = \text{Borel}(\mathbb{R}_P) \setminus \mathbb{I}_P$  be a real forcing satisfying weak fusion and (\*). If  $\mathcal{S}$  is a splitting family on  $\omega$ , then the f.c.e.:

- (a)  $\mathcal{S}$  is  $\mathbb{P}$ -stable;
  - (b)  $\forall \tau \in \text{Nn}^\omega(\check{\omega}) \ \forall p \in \mathbb{P} \ \exists q \leq p \ \exists S \in \mathcal{S} \ q \Vdash |\tau \cap \check{S}| = \check{\omega} \wedge |\tau \setminus \check{S}| = \check{\omega}$ ;
  - (c)  $\forall B \in \mathcal{T}_P^+ \ \forall f : B \xrightarrow{1-1} \omega \ \exists S \in \mathcal{S} \ G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_P$ .
- If instead of weak fusion the forcing  $\mathbb{P}$  has very weak fusion, then conditions (a), (b) and (d) are equivalent, where
- (d)  $\forall B \in \mathcal{T}_P^+ \ \forall f : B \xrightarrow{\text{fin-1}} \omega \ \exists S \in \mathcal{S} \ G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_P$ .

**Proof.** The equivalence (a) $\Leftrightarrow$ (b) is a consequence of Fact 4 and the elementary properties of the forcing relation.

(a) $\Rightarrow$ (c). Suppose (a) and  $\neg$ (c). Then there are  $B \in \mathcal{T}_P^+$  and  $f : B \xrightarrow{1-1} \omega$  such that

$$\forall S \in \mathcal{S} \ G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \in \mathbb{I}_P. \quad (3)$$

Let  $G$  be a  $\mathbb{P}$ -generic filter over  $V$  such that  $G_\delta(B) \in G$ . According to Fact 3 there exists a generic real  $x \in V[G]$  and  $x \in G_\delta(B)^{V(G)}$ . Since  $G \cap \mathbb{I}_P = \emptyset$  using (3) and Fact 3 we obtain

$$\forall S \in \mathcal{S} \ x \notin [G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S])]^{V[G]}. \quad (4)$$

Now, since countable operations with Borel sets having Borel codes in  $V$  are absolute (see [5], Lemma 42.3) it follows that the  $V[G]$ -evaluation  $G_\delta(B)^{V(G)}$  is equal to the set  $G_\delta^{V(G)}(B) = \{y \in \mathbb{R}_P^{V[G]} : |\check{y} \cap B| = \aleph_0\}$ . By (4) we obtain

$$\forall S \in \mathcal{S} \ x \notin G_\delta^{V(G)}(f^{-1}[S]) \cap G_\delta^{V(G)}(f^{-1}[\omega \setminus S]). \quad (5)$$

Since  $x \in G_\delta(B)^{V(G)}$ , the set  $\check{x} \cap B$  is infinite, so, the set  $X = f[\check{x} \cap B]$  is infinite, because  $f$  is an injection. By (a) there is a set  $S \in \mathcal{S}$  which splits  $X$ , that is  $X \cap S = \{f(x \restriction n) : n \in N\}$  and  $X \setminus S = \{f(x \restriction n) : n \in M\}$ , where  $N, M \in [\omega]^\omega$ . So, for  $n \in N$  we have  $x \restriction n \in f^{-1}[S]$  thus  $x \in G_\delta^{V[G]}(f^{-1}[S])$  and, similarly,  $x \in G_\delta^{V[G]}(f^{-1}[\omega \setminus S])$ . A contradiction to (5).

(c) $\Rightarrow$ (b). Let condition (c) hold,  $\tau \in \text{Nn}^\omega(\check{\omega})$  and  $p \in \mathbb{P}$ . We will find  $q \leq p$  and  $S \in \mathcal{S}$  such that  $q \Vdash |\tau \cap \check{S}| = \check{\omega} \wedge |\tau \setminus \check{S}| = \check{\omega}$ . Let  $\mathcal{B}_n, \mathcal{A}_n, h_n$  and  $g$  be the objects provided by weak fusion, let  $B = \bigcup_{n \in \omega} \mathcal{B}_n$  and let  $f : B \rightarrow \omega$  be defined by  $f(\varphi) = g(n, h_n(\varphi))$ , for  $\varphi \in \mathcal{B}_n$ . By Lemma 1,  $f$  is an injection. Since  $G_\delta(B) \notin \mathbb{I}_P$ , using (c) we obtain  $S \in \mathcal{S}$  such that  $q \stackrel{\text{df}}{=} G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_P$ . By (b) of Lemma 1,  $q \leq p$ ,  $G_\delta(f^{-1}[S]) \Vdash |\tau \cap \check{S}| = \check{\omega}$  and, consequently,  $q \Vdash |\tau \cap \check{S}| = \check{\omega}$ . Similarly, by Lemma 1,  $G_\delta(f^{-1}[\omega \setminus S]) \Vdash |\tau \setminus \check{S}| = \check{\omega}$ , so  $q \Vdash |\tau \setminus \check{S}| = \check{\omega}$  too.  $\square$

By [2], p. 278, the forcings  $\mathbb{S}, \mathbb{M}, \mathbb{L}, \mathbb{C}, \mathbb{D}$  and  $\mathbb{B}$  satisfy condition (\*) and  $\mathbb{S}, \mathbb{M}, \mathbb{L}, \mathbb{C}$  and  $\mathbb{D}$  have weak fusion (see Lemmas 2.2.3, 2.2.4 and 2.2.5 of [2]), so using the previous theorem we obtain:

**Corollary 1.** Let  $\mathbb{P} \in \{\mathbb{S}, \mathbb{M}, \mathbb{L}, \mathbb{C}, \mathbb{D}\}$  and let  $\mathcal{S}$  be a splitting family on  $\omega$ . Then  $\mathcal{S}$  is  $\mathbb{P}$ -stable iff

$$\forall B \in \mathcal{T}_P^+ \ \forall f : B \xrightarrow{1-1} \omega \ \exists S \in \mathcal{S} \ G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_P.$$

By Lemma 2.3.1 of [2] the random forcing has very weak fusion, so there holds

**Corollary 2.** A splitting family  $\mathcal{S}$  on  $\omega$  is  $\mathbb{B}$ -stable iff

$$\forall B \in \mathcal{T}_B^+ \ \forall f : B \xrightarrow{\text{fin-1}} \omega \ \exists S \in \mathcal{S} \ G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_B.$$

**Remark 1.** In contrast to the characterization of stable tall ideals and mad families given in Theorem 2.2.2 of [2], in (c) of Theorem 2 we can not replace the part ‘ $\forall f : \mathcal{B} \xrightarrow{1-1} \omega$ ’ by ‘ $\forall f : \mathcal{B} \rightarrow \omega$ ’ since the formula

$$\forall f : \mathcal{B} \rightarrow \omega \quad \exists S \in \mathcal{S} \quad G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_\mathbb{P}$$

is always false (take a constant function  $f$ ).

### 3. The $G_\delta$ -homogeneity

In order to simplify characterizations of stable splitting families for some forcing notions, by the following definition we introduce a notion of homogeneity (of an ideal on the set of reals) which is slightly different from the notion of strong homogeneity used by Brendle and Yatabe in [2]

**Definition 2.** Let  $\mathbb{P} = \text{Borel}(\mathbb{R}_\mathbb{P}) \setminus \mathbb{I}_\mathbb{P}$  be a real forcing. The ideal  $\mathbb{I}_\mathbb{P}$  is  $G_\delta$ -homogeneous iff for each positive subset  $\mathcal{B}$  of  $\mathcal{T}_\mathbb{P}$  there is an embedding  $h : \mathcal{T}_\mathbb{P} \rightarrow \mathcal{B}$  which preserves positive sets, i.e.  $h$  is an injection satisfying:

- (h1)  $\forall \varphi, \psi \in \mathcal{T}_\mathbb{P} \quad (\varphi < \psi \Leftrightarrow h(\varphi) < h(\psi))$ ;
- (h2)  $\forall \mathcal{C} \in \mathcal{T}_\mathbb{P}^+ \quad h[\mathcal{C}] \in \mathcal{T}_\mathbb{P}^+$ .

**Lemma 2.** Under the assumptions of the previous definition, for each  $\mathcal{C}, \mathcal{D} \subset \mathcal{T}_\mathbb{P}$

$$G_\delta(\mathcal{C}) \subset G_\delta(\mathcal{D}) \Rightarrow G_\delta(h[\mathcal{C}]) \subset G_\delta(h[\mathcal{D}]).$$

**Proof.** Let  $\mathcal{C}, \mathcal{D} \subset \mathcal{T}_\mathbb{P}$  and  $G_\delta(\mathcal{C}) \subset G_\delta(\mathcal{D})$ . Let  $y \in G_\delta(h[\mathcal{C}])$ , that is  $\{y \restriction k : k \in M\} \subset h[\mathcal{C}]$ , where  $M \in [\omega]^\omega$ . Then there are  $\varphi_k \in \mathcal{C}$ ,  $k \in M$ , such that  $y \restriction k = h(\varphi_k)$ . By (h1)  $\{\varphi_k : k \in M\}$  is an infinite chain in  $\mathcal{C}$ , so  $x = \bigcup_{k \in M} \varphi_k \in \mathbb{R}_\mathbb{P}$  and, clearly,  $x \in G_\delta(\mathcal{C})$ . By the assumption  $|\tilde{x} \cap \mathcal{D}| = \aleph_0$ , so, since  $h$  is an injection, the set  $h[\tilde{x}] \cap h[\mathcal{D}]$  is infinite and  $y \in G_\delta(h[\mathcal{D}])$  will follow from  $h[\tilde{x}] \subset \tilde{y}$ . If  $l \in \omega$ , then  $l \in \text{dom}(\varphi_k)$  for some  $k \in M$ , so  $x \restriction l = \varphi_k \restriction l$ . By (h1),  $\varphi_k \restriction l > \varphi_k$  implies  $h(x \restriction l) = h(\varphi_k \restriction l) > h(\varphi_k) = y \restriction k$  which means that for some  $r < k$ ,  $h(x \restriction l) = y \restriction r \in \tilde{y}$ . Thus  $h[\tilde{x}] \subset \tilde{y}$ .  $\square$

**Theorem 3.** Let  $\mathbb{P} = \text{Borel}(\mathbb{R}_\mathbb{P}) \setminus \mathbb{I}_\mathbb{P}$  be a real forcing, satisfying weak fusion and  $(*)$ , where the ideal  $\mathbb{I}_\mathbb{P}$  is  $G_\delta$ -homogeneous. If  $\mathcal{S}$  is a splitting family on  $\omega$ , then the f.c.e.::

- (a)  $\mathcal{S}$  is  $\mathbb{P}$ -stable;
- (c')  $\forall f : \mathcal{T}_\mathbb{P} \xrightarrow{1-1} \omega \quad \exists S \in \mathcal{S} \quad G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_\mathbb{P}$ .

**Proof.** We prove (c')  $\Leftrightarrow$  (c) of Theorem 2. (c)  $\Rightarrow$  (c') is true since  $\mathcal{T}_\mathbb{P} \in \mathcal{T}_\mathbb{P}^+$ .

(c')  $\Rightarrow$  (c). Suppose (c'). Let  $\mathcal{B} \subset \mathcal{T}_\mathbb{P}$  be a positive set and  $f : \mathcal{B} \xrightarrow{1-1} \omega$ . Let  $h : \mathcal{T}_\mathbb{P} \rightarrow \mathcal{B}$  be an embedding preserving positive sets. Then  $f \circ h : \mathcal{T}_\mathbb{P} \rightarrow \omega$  is an injection, so, by (c'), there is  $S \in \mathcal{S}$  such that

$$p = G_\delta(h^{-1}[f^{-1}[S]]) \cap G_\delta(h^{-1}[f^{-1}[\omega \setminus S]]) \notin \mathbb{I}_\mathbb{P}.$$

Consequently, the sets  $h^{-1}[f^{-1}[S]]$  and  $h^{-1}[f^{-1}[\omega \setminus S]]$  are positive. Since  $p \subset G_\delta(h^{-1}[f^{-1}[S]])$ , using  $(*)$  we obtain a positive set  $\mathcal{D} \subset h^{-1}[f^{-1}[S]]$  such that  $G_\delta(\mathcal{D}) \subset p$ . Now  $G_\delta(\mathcal{D}) \subset G_\delta(h^{-1}[f^{-1}[\omega \setminus S]])$  and, using  $(*)$  again, we obtain a positive set  $\mathcal{C} \subset h^{-1}[f^{-1}[\omega \setminus S]]$  such that  $G_\delta(\mathcal{C}) \subset G_\delta(\mathcal{D})$  which, by Lemma 2 implies

$$G_\delta(h[\mathcal{C}]) \subset G_\delta(h[\mathcal{D}]). \tag{6}$$

Clearly  $h[\mathcal{C}] \subset f^{-1}[\omega \setminus S]$ , thus  $G_\delta(h[\mathcal{C}]) \subset G_\delta(f^{-1}[\omega \setminus S])$ . Also,  $h[\mathcal{D}] \subset f^{-1}[S]$ , thus  $G_\delta(h[\mathcal{D}]) \subset G_\delta(f^{-1}[S])$  so, by (6),

$$G_\delta(h[\mathcal{C}]) \subset G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]). \tag{7}$$

Since the set  $\mathcal{C}$  is positive,  $h[\mathcal{C}]$  is positive too and, by (7),  $G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_\mathbb{P}$ .  $\square$

#### 4. Additional characterizations of $\mathbb{S}$ -stability

**Lemma 3.** *If  $\mathcal{B} \subset {}^{<\omega}2$  and  $|G_\delta(\mathcal{B})| > \aleph_0$ , then:*

- (a) *The set  $\mathcal{B}' = \{\varphi \in \mathcal{B} : |[\varphi] \cap G_\delta(\mathcal{B})| > \aleph_0\}$  is nonempty.*
- (b) *Below each  $\varphi \in \mathcal{B}'$  there are two incompatible elements  $\psi^0, \psi^1 \in \mathcal{B}'$ .*

**Proof.** (a) follows from  $G_\delta(\mathcal{B}) \subset \bigcup_{\varphi \in \mathcal{B}} [\varphi]$  and  $|\mathcal{B}| = \aleph_0$ .

(b) Let  $\varphi \in \mathcal{B}'$ . Then  $A = [\varphi] \cap G_\delta(\mathcal{B})$  is an uncountable subset of the Cantor cube,  $2^\omega$ , and (see [3], 1.7.11)  $|A \setminus A^0| \leq \aleph_0$ , where  $A^0 = \{x \in 2^\omega : |U \cap A| > \aleph_0 \text{ for each neighbourhood } U \text{ of } x\}$ . Thus  $|A \cap A^0| > \aleph_0$ , so we can choose different points  $x, y \in A \cap A^0$ . Let  $n_0 = \min\{n \in \omega : x(n) \neq y(n)\}$ , then clearly  $\varphi \subset x \upharpoonright n_0 = y \upharpoonright n_0$ . Since  $x, y \in G_\delta(\mathcal{B})$  there are  $\psi^0, \psi^1 \in \mathcal{B}$  such that  $\psi^0 \subset x, \psi^1 \subset y$  and  $|\psi^0|, |\psi^1| > n_0$ . Then  $\psi^0 \perp \psi^1$  and clearly  $\psi^0, \psi^1 < \varphi$ . Since  $x \in A^0$  and  $[\psi^0]$  is a neighborhood of  $x$ , the set  $[\psi^0] \cap A = [\psi^0] \cap G_\delta(\mathcal{B})$  is uncountable, so  $\psi^0 \in \mathcal{B}'$ . Analogously,  $\psi^1 \in \mathcal{B}'$ .  $\square$

**Theorem 4.** *Let  $\mathcal{S}$  be a splitting family on  $\omega$ . Then the f.c.e.:*

- (S1)  *$\mathcal{S}$  is  $\mathbb{S}$ -stable;*
- (S2)  $\forall f : {}^{<\omega}2 \xrightarrow{1-1} \omega \exists S \in \mathcal{S} \ |G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S])| > \aleph_0$ ;
- (S3)  *$\mathcal{S}$  is stable for some forcing adding a new real.*

**Proof.** (S1)  $\Leftrightarrow$  (S2). Since the Sacks forcing has weak fusion ([2], Lemma 2.2.3) and satisfies condition (\*), according to Theorem 3, it remains to be shown that the ideal  $\mathbb{I}_\mathcal{S} = [2^\omega]^{<\omega}$  is  $G_\delta$ -homogeneous. Let  $\mathcal{B} \subset {}^{<\omega}2$ , where  $|G_\delta(\mathcal{B})| > \aleph_0$  and

$$\mathcal{B}' = \{\psi \in \mathcal{B} : |[\psi] \cap G_\delta(\mathcal{B})| > \aleph_0\}.$$

Using Lemma 3, below each  $\psi \in \mathcal{B}'$  we choose incompatible  $\eta_\psi^0, \eta_\psi^1 \in \mathcal{B}'$  and by recursion we define  $h : {}^{<\omega}2 \rightarrow \mathcal{B}'$  by

- $h(\emptyset) = \varphi_\emptyset$ , an arbitrary element of  $\mathcal{B}'$ ;
- if  $h(\varphi)$  is defined, then  $h(\varphi \smallfrown 0) = \eta_{h(\varphi)}^0$  and  $h(\varphi \smallfrown 1) = \eta_{h(\varphi)}^1$ .

Now, using induction, we easily prove that for each  $n \in \omega$  the restriction of  $h$  to  $2^{\leq n}$  is one-to-one and that  $\varphi < \psi \Leftrightarrow h(\varphi) < h(\psi)$ , for all  $\varphi, \psi \in 2^{\leq n}$ . Thus  $h$  is an injection and condition (h1) of Definition 2 is satisfied.

In order to prove (h2) suppose  $\mathcal{C} \subset {}^{<\omega}2$  and  $|G_\delta(\mathcal{C})| > \aleph_0$ . We prove  $|G_\delta(h[\mathcal{C}])| > \aleph_0$ . If  $x \in G_\delta(\mathcal{C})$ , that is  $\{x \upharpoonright k : k \in M\} \subset \mathcal{C}$  for some  $M \in [\omega]^\omega$ , then, by (h1),  $\{h(x \upharpoonright k) : k \in M\}$  is an infinite chain in  $h[\mathcal{C}]$  and  $y_x = \bigcup_{k \in M} h(x \upharpoonright k) \in G_\delta(h[\mathcal{C}])$ . If  $x_1 \in G_\delta(\mathcal{C})$  and  $x_1 \neq x$ , then  $x \upharpoonright l \perp x_1 \upharpoonright l$  for some  $l \in \omega$  and, by (h1),  $h(x \upharpoonright l) \perp h(x_1 \upharpoonright l)$ , which implies  $y_x \neq y_{x_1}$ . Thus,  $x \mapsto y_x$  is an one-to-one mapping from  $G_\delta(\mathcal{C})$  into  $G_\delta(h[\mathcal{C}])$ , so  $|G_\delta(h[\mathcal{C}])| > \aleph_0$ . Thus  $\mathbb{I}_\mathcal{S}$  is a  $G_\delta$ -homogeneous ideal.

The implication (S1)  $\Rightarrow$  (S3) is trivial and we prove (S3)  $\Rightarrow$  (S2). Let  $\mathbb{P}$  be a forcing adding a new real  $x \in 2^\omega \cap V[G]$  and  $V[G] \models \text{“}\mathcal{S} \text{ is a splitting family”}$ . Suppose there is an injection  $f : {}^{<\omega}2 \rightarrow \omega$ , where

$$\forall S \in \mathcal{S} \ |G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S])| \leq \aleph_0.$$

Since a new real can not belong to a countable Borel set coded in  $V$ , we have

$$\forall S \in \mathcal{S} \ x \notin (G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]))^{V[G]}. \quad (8)$$

Since  $f$  is an injection,  $f[\tilde{x}] \in [\omega]^\omega$ . By the assumption there is a set  $S \in \mathcal{S}$  such that  $|f[\tilde{x}] \cap S| = \aleph_0$  and  $|f[\tilde{x}] \setminus S| = \aleph_0$ . Clearly, the set  $\tilde{x} \cap f^{-1}[S]$  is infinite, so  $x \in G_\delta^{V[G]}(f^{-1}[S])$ . Also  $|f^{-1}[f[\tilde{x}] \setminus S]| = |\tilde{x} \cap f^{-1}[\omega \setminus S]| = \aleph_0$ , so  $x \in G_\delta^{V[G]}(f^{-1}[\omega \setminus S])$ . By the argument concerning  $V$ -codes of Borel sets given in the proof of Theorem 2 we obtain a contradiction to (8). Thus (S2) holds.  $\square$

#### 5. Additional characterizations of $\mathbb{M}$ -stability

An element  $\psi$  of a Miller tree  $T \subset {}^{<\omega}\omega$  is called an  $\aleph_0$ -splitting node of  $T$  if the set  $\{n \in \omega : \psi \smallfrown n \in T\}$  is infinite. Let  $\text{Split}(T)$  denote the set of all such nodes. According to [7], a subset  $P$  of the Baire space  $\omega^\omega$  will be called *superperfect* iff it is closed and the tree  $T_P = \bigcup_{x \in P} \tilde{x}$  is a Miller tree. By [7] (see also [12]) we have



**Fact 5** (Kechris [7]). *Each analytic,  $\leq^*$ -unbounded subset of  $\omega^\omega$  has a superperfect subset.*

**Lemma 4.** *If  $\mathcal{B} \in \mathcal{T}_{\mathbb{M}}^+$ , then*

(a) *There is a superperfect set  $P \subset G_\delta(\mathcal{B})$ .*

(b) *Below each  $\varphi \in \mathcal{B} \cap T_P$  there is  $\psi \in \text{Split}(T_P)$ , and if  $\{n_k : k \in \omega\}$  is an enumeration of the set  $\{n \in \omega : \psi \hat{\ } n \in T_P\}$ , then for each  $k \in \omega$  there exists  $\varphi_k \in \mathcal{B} \cap T_P$  such that  $\varphi_k \leq \psi \hat{\ } n_k$ .*

**Proof.** (a) By the assumption,  $G_\delta(\mathcal{B})$  is an  $\leq^*$ -unbounded set and we apply Fact 5.

(b) Since  $T_P$  is a Miller tree, there is an  $\psi \in \text{Split}(T_P)$  such that  $\psi \leq \varphi$ . Since  $\psi \hat{\ } n_k \in T_P$ , there is  $x \in P$  such that  $\psi \hat{\ } n_k \subset x$ . Now  $x \in G_\delta(\mathcal{B})$  thus there is  $\varphi_k \in \mathcal{B}$  satisfying  $\psi \hat{\ } n_k \subset \varphi_k \subset x$  which implies  $\varphi_k \in T_P$  and  $\varphi_k \leq \psi \hat{\ } n_k$ .  $\square$

**Lemma 5.** *The ideal  $\mathbb{I}_{\mathbb{M}}$  is  $G_\delta$ -homogeneous.*

**Proof.** Let  $\mathcal{B} \in \mathcal{T}_{\mathbb{M}}^+$ . By Lemma 4(a), there is a superperfect set  $P \subset G_\delta(\mathcal{B})$ . Using recursion we define a function  $h : {}^{<\omega}\omega \rightarrow \mathcal{B} \cap T_P$  as follows.

$h(\emptyset)$  is an arbitrary element of  $\mathcal{B} \cap T_P$ .

Let  $n \in \omega$ ,  $\eta \in {}^n\omega$  and let  $h(\eta) \in \mathcal{B} \cap T_P$  be defined. According to Lemma 4(b) there is  $\psi_\eta \in \text{Split}(T_P)$  such that  $\psi_\eta \leq h(\eta)$  and, if  $\{n_k^\eta : k \in \omega\}$  is an increasing enumeration of the set  $M_\eta = \{n \in \omega : \psi_\eta \hat{\ } n \in T_P\}$ , there are  $\varphi_k^\eta \in \mathcal{B} \cap T_P$ ,  $k \in \omega$ , satisfying  $\varphi_k^\eta \leq \psi_\eta \hat{\ } n_k^\eta$ . Now we define  $h(\eta \hat{\ } k) = \varphi_k^\eta$ , for  $k \in \omega$ . So,

$$h(\eta \hat{\ } k) \leq \psi_\eta \hat{\ } n_k^\eta < \psi_\eta \leq h(\eta).$$

It is easy to show that  $h$  is an injection satisfying condition (h1) of Definition 2.

For a proof of (h2) suppose  $\mathcal{C} \subset {}^{<\omega}\omega$  and  $G_\delta(\mathcal{C})$  is an  $\leq^*$ -unbounded subset of  $\omega^\omega$ . We prove that the set  $G_\delta(h[\mathcal{C}])$  is  $\leq^*$ -unbounded too, showing that for an arbitrary function  $f : \omega \rightarrow \omega$  there is  $y \in G_\delta(h[\mathcal{C}])$  which is not  $\leq^*$ -bounded by  $f$ . By Lemma 4(a) there is a superperfect set  $Q \subset G_\delta(\mathcal{C})$ . Using recursion we construct a sequence  $\eta_0 \subset \eta_1 \subset \dots$  of elements of  $\mathcal{C} \cap T_Q$  and an increasing sequence  $r_1 < r_2 < \dots$  in  $\omega$  such that for each  $n \geq 1$

$$r_n \in \text{dom}(h(\eta_n)) \text{ and } h(\eta_n)(r_n) > f(r_n). \quad (9)$$

Let  $\eta_0 \in \mathcal{C} \cap T_Q$  be arbitrary.

Let  $n \in \omega$  and let  $\eta_0, \dots, \eta_n$  and  $r_1, \dots, r_n$  be defined. Since  $\eta_n \in \mathcal{C} \cap T_Q$ , according to Lemma 4(b) there is  $v_n \in \text{Split}(T_Q)$  such that  $v_n \leq \eta_n$  and, if  $\{m_l^n : l \in \omega\}$  is an increasing enumeration of the set  $N_{v_n} = \{m \in \omega : v_n \hat{\ } m \in T_Q\}$ , there are  $\eta_l^n \in \mathcal{C} \cap T_Q$ ,  $l \in \omega$ , satisfying  $\eta_l^n \leq v_n \hat{\ } m_l^n$ . Then  $h(\eta_l^n) \in h[\mathcal{C}] \cap T_P$  and, clearly,

$$h(\eta_l^n) \leq h(v_n \hat{\ } m_l^n) < h(v_n) \leq h(\eta_n).$$

According to the definition of  $h$ , there exists  $\psi_{v_n} \in \text{Split}(T_P)$  such that for each  $l \in \omega$

$$h(v_n \hat{\ } m_l^n) < \psi_{v_n} \leq h(v_n)$$

and for each  $l \in \omega$  there is  $k_l^n \in \omega$  such that

$$h(v_n \hat{\ } m_l^n) \leq \psi_{v_n} \hat{\ } k_l^n$$

and  $l \neq l_1$  implies  $k_l^n \neq k_{l_1}^n$ . Let us define  $r_{n+1} = |\psi_{v_n}| + 1$ . Now we choose  $l_n \in \omega$  such that  $k_{l_n}^n > f(r_{n+1})$ , which implies  $h(\eta_{l_n}^n)(r_{n+1}) = k_{l_n}^n > f(r_{n+1})$ . Finally, we define  $\eta_{n+1} = \eta_{l_n}^n$ . Clearly (9) holds for  $n+1$ . By (h1),  $\langle h(\eta_n) \rangle$  is an  $\subset$ -increasing sequence in  ${}^{<\omega}\omega$ , thus  $y = \bigcup_{n \in \omega} h(\eta_n)$  is a function from  $\omega$  to  $\omega$ . By the construction  $\eta_n \in \mathcal{C}$ , so  $h(\eta_n) \in \tilde{y} \cap h[\mathcal{C}]$ ,  $n \in \omega$ , thus  $y \in G_\delta(h[\mathcal{C}])$ . By (9), for each  $n \geq 1$  there holds  $y(r_n) > f(r_n)$  so  $y$  is not  $\leq^*$ -bounded by  $f$ .  $\square$

**Fact 6.** *Let  $M \subset N$  be transitive models of ZFC. If a Borel set  $B \in M$  is  $\leq^*$ -bounded by a function  $f \in \omega^\omega \cap M$ , then  $B^N$  is  $\leq^*$ -bounded by the same function. Consequently, if  $N$  contains an unbounded real  $x \in \omega^\omega$ , then  $x \notin B^N$ .*

**Proof.** By the assumption,  $B \subset \bigcup_{m \in \omega} \bigcap_{n \geq m} \bigcup_{\varphi \in {}^n \omega} \bigcup_{k \leq f(n)} [\varphi \hat{\ } k] = B_1$  and, applying [Fact 1](#), we obtain  $B^N \subset \bigcup_{m \in \omega} \bigcap_{n \geq m} \bigcup_{\varphi \in {}^n \omega} \bigcup_{k \leq f(n)} [\varphi \hat{\ } k]^N$ . Now, since  $[\varphi \hat{\ } k]^N = [\varphi \hat{\ } k] \cap N$ , each real  $x \in B^N$  is  $\leq^* f$ .  $\square$

**Theorem 5.** *If  $\mathcal{S}$  is a splitting family on  $\omega$ , then the f.c.e.:*

(M1)  $\mathcal{S}$  is  $\mathbb{M}$ -stable;

(M2)  $\forall f : {}^{<\omega} \omega \xrightarrow{1-1} \omega \ \exists S \in \mathcal{S} \ G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{M}$ ;

(M3)  $\mathcal{S}$  is stable for some forcing adding an unbounded real.

**Proof.** (M1) $\Leftrightarrow$ (M2). Since the Miller forcing has weak fusion ([\[2\]](#), Lemma 2.2.3) and satisfies condition (\*), according to [Theorem 3](#), it remains to be shown that the ideal  $\mathbb{M}$  is  $G_\delta$ -homogeneous. But this is [Lemma 5](#).

(M1) $\Rightarrow$ (M3). By [\[11\]](#),  $\mathbb{M}$  adds unbounded reals.

(M3) $\Rightarrow$ (M2). Let  $\mathbb{P}$  be a forcing and  $V_{\mathbb{P}}[G]$  an extension containing an unbounded real  $x \in {}^\omega \omega$  while  $V_{\mathbb{P}}[G] \models \text{“}\mathcal{S} \text{ is a splitting family”}$ .

Let  $f : {}^{<\omega} \omega \xrightarrow{1-1} \omega$  belong to  $V$ . Suppose that, in  $V$ , for each  $S \in \mathcal{S}$  there holds  $G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \in \mathbb{M}$ , that is  $G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S])$  is an  $\leq^*$ -bounded set. Then, by [Fact 6](#),  $x \notin [G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S])]^{V_{\mathbb{P}}[G]}$  for all  $S \in \mathcal{S}$  and, by [Fact 1\(b\)](#) we have

$$\forall S \in \mathcal{S} \ x \notin [G_\delta(f^{-1}[S])]^{V_{\mathbb{P}}[G]} \cap [G_\delta(f^{-1}[\omega \setminus S])]^{V_{\mathbb{P}}[G]}. \quad (10)$$

Since  $f$  is an injection,  $f[\tilde{x}] \in [\omega]^\omega \cap V_{\mathbb{P}}[G]$  so, since  $V_{\mathbb{P}}[G] \models \text{“}\mathcal{S} \text{ is a splitting family”}$ , there is  $S \in \mathcal{S}$  such that the sets  $f[\tilde{x}] \cap S$  and  $f[\tilde{x}] \cap \omega \setminus S$  are infinite. Then, clearly, the sets  $\tilde{x} \cap f^{-1}[S]$  and  $\tilde{x} \cap f^{-1}[\omega \setminus S]$  are infinite too thus, by [Fact 2](#),  $x \in [G_\delta(f^{-1}[S])]^{V_{\mathbb{P}}[G]} \cap [G_\delta(f^{-1}[\omega \setminus S])]^{V_{\mathbb{P}}[G]}$ . A contradiction to (10).  $\square$

## 6. Additional characterizations of $\mathbb{L}$ -stability and $\mathbb{C}$ -stability

We remind the reader that the Laver forcing,  $\langle \mathbb{L}, \subset \rangle$ , is equivalent to the forcing  $\text{Borel}(\omega^\omega) \setminus \mathbb{L}$ , where  $\mathbb{L}$  is the  $\sigma$ -ideal of subsets of  $\omega^\omega$  which are not strongly dominating. This ideal is Borel-generated, moreover the following well-known fact holds.

**Fact 7.** *For a set of reals  $X \subset \omega^\omega$  the f.c.e.:*

(i)  $X \in \mathbb{L}$ ;

(ii) *There is a function  $F : {}^{<\omega} \omega \rightarrow \omega$  such that for each  $x \in X$  the set  $\{n \in \omega : F(x \upharpoonright n) > x(n)\}$  is infinite;*

(iii) *There is a function  $F : {}^{<\omega} \omega \rightarrow \omega$  such that  $X \subset B_F$ , where the Borel set  $B_F$  is given by  $B_F = \bigcap_{m \in \omega} \bigcup_{n \geq m} \bigcap_{\varphi \in {}^n \omega} \bigcup_{k < F(\varphi)} [\varphi]^c \cup [\varphi \hat{\ } k]$ .*

If  $T \subset {}^{<\omega} \omega$  is a tree, let  $\text{Br}(T) = \{x \in \omega^\omega : \tilde{x} \subset T\}$ .

**Fact 8.** *If  $T \subset {}^{<\omega} \omega$  is a Laver tree, then  $\text{Br}(T) \in \text{Borel}(\omega^\omega) \setminus \mathbb{L}$ .*

**Proof.** Since  $\text{Br}(T) = \bigcap_{n \in \omega} \bigcup_{\varphi \in T \cap {}^n \omega} [\varphi]$ , we have  $\text{Br}(T) \in \text{Borel}(\omega^\omega)$ . If  $F : {}^{<\omega} \omega \rightarrow \omega$ , we construct a real  $x \in \text{Br}(T)$  such that  $F_x \leq^* x$ . For  $n < m = \text{dom } \varphi_T$ , let  $x(n) = \varphi_T(n)$ . Let  $n \geq m$  and let  $x \upharpoonright n \in T$  be defined. Then we choose  $k \in \omega$  such that  $x \upharpoonright n \hat{\ } k \in T$  and  $k \geq F(x \upharpoonright n)$  and we define  $x(n) = k$ . So  $F(x \upharpoonright n) \leq x(n)$ , for all  $n \geq m$ .  $\square$

Moreover, by [\[13\]](#) there holds:

**Fact 9.** *If  $X \subset \omega^\omega$  is an analytic set, then  $X \notin \mathbb{L}$  iff there is a Laver tree  $T$  such that  $\text{Br}(T) \subset X$ .*

The ideal  $\mathbb{L}$  is absolute in the following sense:

**Fact 10.** *Let  $M \subset N$  be transitive models of ZFC. If, in  $M$ , a Borel set  $B \subset \omega^\omega$  is not strongly dominating and  $F : {}^{<\omega} \omega \rightarrow \omega$  is a witness for this, then, in  $N$ , the set  $B^N$  is not strongly dominating and  $F$  witnesses it too.*

**Proof.** By [Facts 7](#) and [1](#),  $B^N \subset \bigcap_{m \in \omega} \bigcup_{n \geq m} \bigcap_{\varphi \in {}^n \omega} \bigcup_{k < F(\varphi)} (\omega^\omega)^N \setminus [\varphi]^N \cup [\varphi \hat{\ } k]^N$  so for each  $x \in B^N$  we have  $F_x \not\leq^* x$ .  $\square$



We remind the reader that, if  $M \subset N$  are models of ZFC, then a real  $y \in {}^\omega\omega \cap N$  is *dominating over  $M$*  iff  $f \leq^* y$ , for each  $f \in {}^\omega\omega \cap M$ . A real  $y$  is *strongly dominating over  $M$*  iff  $F_y \leq^* y$ , for each function  $F : {}^{<\omega}\omega \rightarrow \omega$  belonging to  $M$  (where  $F_y(n) = F(y \upharpoonright n)$ ).

**Fact 11.** *If  $M \subset N$  are models of ZFC and  $N$  contains a dominating real, then  $N$  contains a strongly dominating real too.*

**Proof.** Let  $N$  contain a dominating real. Then, in  $N$ , there is a function  $Y : {}^{<\omega}\omega \rightarrow \omega$  which  $\leq^*$ -dominates all functions  $F : {}^{<\omega}\omega \rightarrow \omega$  belonging to  $M$ . If the function  $y \in {}^\omega\omega \cap N$  is defined recursively by  $y(n) = Y(y \upharpoonright n)$ , then for each  $F : {}^{<\omega}\omega \rightarrow \omega$  belonging to  $M$  we have  $F(y \upharpoonright n) \leq y(n)$ , for all but finitely many  $n \in \omega$ .  $\square$

**Fact 12.** *Let  $M \subset N$  be models of ZFC. If in  $M$   $B$  is a Borel subset of  $\omega^\omega$  and if  $N$  contains a strongly dominating real  $y$ , then:*

- (a) *If  $B \in \mathbb{I}_\mathbb{L}$ , then  $y \notin B^N$ .*
- (b) *If  $B \notin \mathbb{I}_\mathbb{L}$ , then there is a strongly dominating real  $z \in B^N$ .*

**Proof.** (a) is a consequence of Fact 10.

(b) Let, in  $M$ ,  $B \in \text{Borel}(\omega^\omega) \setminus \mathbb{I}_\mathbb{L}$ . By Fact 9, there is a Laver tree  $T \subset {}^{<\omega}\omega$  such that  $\text{Br}(T) \subset B$ . Let  $\varphi_T$  be the stem of  $T$  and  $\text{dom}(\varphi_T) = m$ . Then the natural isomorphism  $h : {}^{<\omega}\omega \rightarrow T \cap \varphi_T \downarrow$  is given by:  $h(\emptyset) = \varphi_T$  and  $h(\eta \smallfrown k) = h(\eta) \smallfrown n_k^\eta$ , where  $\{n_k^\eta : k \in \omega\}$  is an increasing enumeration of the set  $M_\eta = \{n \in \omega : h(\eta) \smallfrown n \in T\}$ .

Since  $\{h(y \upharpoonright n) : n \in \omega\}$  is a chain in  $T$ , for  $z = \bigcup_{n \in \omega} h(y \upharpoonright n)$  we have  $z \in {}^\omega\omega \cap N$  and  $\tilde{z} \subset T$ . According to Facts 8 and 1 there holds  $\text{Br}(T)^N = \{x \in {}^\omega\omega \cap N : \tilde{x} \subset T\}$ , thus  $z \in \text{Br}(T)^N$ . By Fact 1,  $\text{Br}(T) \subset B$  implies  $\text{Br}(T)^N \subset B^N$  so,  $z \in B^N$ .

It remains to be proved that the function  $z$  is strongly dominating over  $M$ . Let  $\text{dom}(\varphi_T) = m$ . Using induction we easily prove

$$\forall k \in \omega \left( \text{dom}(h(y \upharpoonright k)) = m + k \quad \text{and} \quad z(m + k) = n_{y(k)}^{y \upharpoonright k} \right). \quad (11)$$

Since the enumerations of the sets  $M_\eta$  are increasing, we have  $n_k^\eta \geq k$ , for all  $k \in \omega$ , so, by (11),

$$\forall k \in \omega \left( z \upharpoonright (m + k) = h(y \upharpoonright k) \quad \text{and} \quad z(m + k) \geq y(k) \right). \quad (12)$$

Let  $G : {}^{<\omega}\omega \rightarrow \omega$  and  $G \in M$ . We have to prove that  $G(z \upharpoonright l) \leq z(l)$  for almost all  $l \in \omega$ . Clearly, the function  $F : {}^{<\omega}\omega \rightarrow \omega$  defined by  $F(\varphi) = G(h(\varphi))$ ,  $\varphi \in {}^{<\omega}\omega$ , belongs to  $M$  and, since the real  $y$  is strongly dominating over  $M$ , there is  $k_0 \in \omega$  such that for each  $k \geq k_0$  there holds  $F(y \upharpoonright k) \leq y(k)$ , that is  $G(h(y \upharpoonright k)) \leq y(k)$ , which, according to (12), implies  $G(z \upharpoonright (m + k)) \leq y(k) \leq z(m + k)$ . Thus, for each  $l \geq m + k_0$  we have  $G(z \upharpoonright l) \leq z(l)$ .  $\square$

**Theorem 6.** *If  $\mathcal{S}$  is a splitting family on  $\omega$ , then the f.c.e.:*

- (L1)  $\mathcal{S}$  is  $\mathbb{L}$ -stable;
- (L2)  $\forall \mathcal{B} \in \mathcal{T}_\mathbb{L}^+ \quad \forall f : \mathcal{B} \xrightarrow{1-1} \omega \quad \exists S \in \mathcal{S} \quad G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_\mathbb{L}$ ;
- (L3)  $\mathcal{S}$  is stable for some forcing adding a dominating real.

**Proof.** (L1)  $\Leftrightarrow$  (L2). Since the Laver forcing has weak fusion ([2], Lemma 2.2.3) and satisfies condition (\*) ([2], p. 278), we apply Theorem 2.

(L1)  $\Rightarrow$  (L3). It is well known that forcing by  $\mathbb{L}$  adds dominating reals.

(L3)  $\Rightarrow$  (L2). Let  $\mathbb{P}$  be a forcing and  $V_\mathbb{P}[G]$  an extension containing a dominating real and preserving  $\mathcal{S}$ . By Fact 11, in  $V_\mathbb{P}[G]$  there is a strongly dominating real. Let  $\mathcal{B} \subset {}^{<\omega}\omega$  and  $G_\delta(\mathcal{B}) \notin \mathbb{I}_\mathbb{L}$ . By Fact 12(b), there is a strongly dominating real  $z \in G_\delta(\mathcal{B})^{V_\mathbb{P}[G]}$  so, by Fact 2, we have  $|\tilde{z} \cap \mathcal{B}| = \aleph_0$ . Let  $f : \mathcal{B} \rightarrow \omega$  be an injection belonging to  $V$ . Then clearly  $f[\tilde{z} \cap \mathcal{B}] \in [\omega]^\omega \cap V_\mathbb{P}[G]$  so, since  $V_\mathbb{P}[G] \models \text{'}\mathcal{S} \text{ is a splitting family'}$ , there exists  $S \in \mathcal{S}$  such that the sets  $f[\tilde{z} \cap \mathcal{B}] \cap S$  and  $f[\tilde{z} \cap \mathcal{B}] \setminus S$  are infinite. Consequently, the sets  $\tilde{z} \cap f^{-1}[S]$  and  $\tilde{z} \cap f^{-1}[\omega \setminus S]$  are infinite too, so, applying Facts 2 and 1 we have  $z \in [G_\delta(f^{-1}[S])]^{V_\mathbb{P}[G]} \cap [G_\delta(f^{-1}[\omega \setminus S])]^{V_\mathbb{P}[G]} = [G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S])]^{V_\mathbb{P}[G]}$ . According to Fact 12(a), there holds  $G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_\mathbb{L}$ .  $\square$

Using the methods described above, it is easy to obtain the following characterization of Cohen-stability of splitting families similar to the characterizations obtained in Theorem 1.

**Theorem 7.** If  $\mathcal{S}$  is a splitting family on  $\omega$ , then the f.c.e.:

(C1)  $\mathcal{S}$  is  $\mathbb{C}$ -stable;

(C2)  $\forall f : {}^{<\omega}\omega \xrightarrow{1-1} \omega \exists S \in \mathcal{S} \ G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_{\mathbb{C}}$ .

## 7. The hierarchy of forcing stability

**Theorem 8.**

$$\begin{array}{ccccc} \mathbb{L} & \rightarrow & \mathbb{M} & \rightarrow & \mathbb{S} \\ \uparrow & & \uparrow & & \uparrow \\ \mathbb{D} & \rightarrow & \mathbb{C} & & \mathbb{B} \end{array}$$

where  $\mathbb{P} \rightarrow \mathbb{Q}$  means:  $\text{ZFC} \vdash$  “Each  $\mathbb{P}$ -stable splitting family on  $\omega$  is  $\mathbb{Q}$ -stable”.

**Proof.** Since each dominating real is unbounded and each unbounded real is new, using Theorems 4–6 we obtain  $\mathbb{L} \rightarrow \mathbb{M} \rightarrow \mathbb{S}$ . Since the Cohen forcing adds an unbounded real, we have  $\mathbb{C} \rightarrow \mathbb{M}$ . Clearly  $\mathbb{B}$  adds new reals, so  $\mathbb{B} \rightarrow \mathbb{S}$ , and  $\mathbb{D}$  adds a dominating real, thus  $\mathbb{D} \rightarrow \mathbb{L}$ . Clearly, a splitting family is  $\mathbb{C}$ -stable if it is stable for some forcing adding a Cohen real. So, since the Hechler forcing adds a Cohen real ( $x \in 2^\omega$ , defined by  $x(n) = 0$  iff  $f(n)$  is even, where  $f \in {}^\omega\omega$  is a Hechler dominating real) we have  $\mathbb{D} \rightarrow \mathbb{C}$ .  $\square$

**Proposition 1.** Let  $\mathcal{S}$  be a splitting family on  $\omega$ ,  $\mathcal{I} \subset P(\omega)$  a tall ideal and  $\mathbb{P}$  and  $\mathbb{Q}$  forcing notions. For each infinite  $I \in \mathcal{I}$  let  $\pi_I : \omega \rightarrow I$  be a fixed bijection. Then

(a)  $\mathcal{S}_{\mathcal{I}} = \bigcup_{I \in \mathcal{I} \cap [\omega]^\omega} \{\pi_I[S] : S \in \mathcal{S}\}$  is a splitting family on  $\omega$ .

(b) If  $\mathcal{S}$  remains splitting in an extension  $V[G]$ , then  $\mathcal{S}_{\mathcal{I}}$  remains splitting in  $V[G]$  iff  $\mathcal{I}$  remains tall in  $V[G]$ .

(c) If  $\mathcal{S}$  is  $\mathbb{P}$ -stable, then  $\mathcal{S}_{\mathcal{I}}$  is  $\mathbb{P}$ -stable iff  $\mathcal{I}$  is a  $\mathbb{P}$ -stable tall ideal.

(d) If there exists a splitting family which is both  $\mathbb{P}$ -stable and  $\mathbb{Q}$ -stable, then  $\mathbb{P} \not\rightarrow \mathbb{Q}$  for tall ideals implies  $\mathbb{P} \not\rightarrow \mathbb{Q}$  for splitting families.

**Proof.** (a) Clearly, for each  $I \in \mathcal{I}$ ,  $\mathcal{S}_I = \{\pi_I[S] : S \in \mathcal{S}\}$  is a splitting family on  $I$ . If  $B \in [\omega]^\omega$ , then, since  $\mathcal{I}$  is a tall ideal, there is  $I \in \mathcal{I}$  such that  $B \cap I$  is an infinite subset of  $I$ . So there is  $S \in \mathcal{S}$  such that the set  $\pi_I[S]$  splits  $B \cap I$  and, consequently,  $B$ .

(b) Let  $\mathcal{S}$  be a splitting family in  $V[G]$ . If  $\mathcal{S}_{\mathcal{I}}$  is splitting in  $V[G]$  and  $X \in [\omega]^\omega \cap V[G]$ , then for some  $I \in \mathcal{I} \cap [\omega]^\omega$  and some  $S \in \mathcal{S}$  we have  $|\pi_I[S] \cap X| = \aleph_0$ , which implies  $|I \cap X| = \aleph_0$ . Thus  $\mathcal{I}$  is a tall ideal in  $V[G]$ . Conversely, if  $\mathcal{I}$  is a tall ideal in  $V[G]$ , then for each  $X \in [\omega]^\omega \cap V[G]$  there is  $I \in \mathcal{I}$  such that  $|I \cap X| = \aleph_0$ . Since, clearly  $\{\pi_I[S] : S \in \mathcal{S}\}$  is a splitting family on  $I$  in  $V[G]$ , there is  $S \in \mathcal{S}$  such that the set  $\pi_I[S]$  splits  $I \cap X$  and, consequently,  $X$ .

(c) and (d) follow from (b).  $\square$

Similarly, there holds.

**Proposition 2.** Let  $\mathcal{S}$  be a splitting family on  $\omega$ ,  $\mathcal{A} \subset [\omega]^\omega$  a mad family and  $\mathbb{P}$  and  $\mathbb{Q}$  forcing notions. For each  $A \in \mathcal{A}$  let  $\pi_A : \omega \rightarrow A$  be a fixed bijection. Then

(a)  $\mathcal{S}_\mathcal{A} = \bigcup_{A \in \mathcal{A}} \{\pi_A[S] : S \in \mathcal{S}\}$  is a splitting family on  $\omega$ ;

(b) If  $\mathcal{S}$  remains splitting in an extension  $V[G]$ , then  $\mathcal{S}_\mathcal{A}$  is splitting in  $V[G]$  iff  $\mathcal{A}$  remains a mad family in  $V[G]$ ;

(c) If  $\mathcal{S}$  is  $\mathbb{P}$ -stable, then  $\mathcal{S}_\mathcal{A}$  is  $\mathbb{P}$ -stable iff  $\mathcal{A}$  is a  $\mathbb{P}$ -stable mad family;

(d) If there exists a splitting family which is both  $\mathbb{P}$ -stable and  $\mathbb{Q}$ -stable, then  $\mathbb{P} \not\rightarrow \mathbb{Q}$  for mad families implies  $\mathbb{P} \not\rightarrow \mathbb{Q}$  for splitting families.

**Theorem 9.** Let  $\mathbb{P}, \mathbb{Q} \in \{\mathbb{S}, \mathbb{M}, \mathbb{L}, \mathbb{C}, \mathbb{B}, \mathbb{D}\}$ . Then  $\mathbb{P} \not\rightarrow \mathbb{Q}$  for tall ideals (or for mad families) implies  $\mathbb{P} \not\rightarrow \mathbb{Q}$  for splitting families.

**Proof.** By [6] (see also [1] p. 176) if  $\mathbb{P}$  is a Suslin forcing, then  $[\omega]^\omega$  is a  $\mathbb{P}$ -stable splitting family.  $\mathbb{B}$  and  $\mathbb{D}$  are Suslin forcings (see [1], p. 168) so the splitting family  $[\omega]^\omega$  is  $\mathbb{B}$  and  $\mathbb{D}$ -stable. According to Theorem 8 it is  $\mathbb{S}, \mathbb{M}, \mathbb{L}$  and  $\mathbb{C}$ -stable too. Now we can apply (d) of Proposition 1, or (d) of Proposition 2.  $\square$

**Theorem 10.** In the diagram given in Theorem 8 there are no additional implications provable in ZFC.

**Proof.** In the sequel we use the previous theorem. According to Theorem 3.3.2 of [2], under CH there is a  $\mathbb{C}$ -stable mad family which is not  $\mathbb{B}$ -stable. So for splitting families we have  $\mathbb{C} \not\rightarrow \mathbb{B}$ , and according to Theorem 8,  $\mathbb{M} \not\rightarrow \mathbb{B}$  and  $\mathbb{S} \not\rightarrow \mathbb{B}$ . By Theorem 3.6.1 of [2],  $\text{add}(\mathcal{N}) = \mathfrak{c}$  implies there is a  $\mathbb{B}$ -stable mad family which is not  $\mathbb{M}$ -stable. So, for splitting families we have  $\mathbb{B} \not\rightarrow \mathbb{M}$ , and, consequently,  $\mathbb{B} \not\rightarrow \mathbb{C}$ ,  $\mathbb{L}$ ,  $\mathbb{D}$  and  $\mathbb{S} \not\rightarrow \mathbb{M}$ ,  $\mathbb{C}$ .

Since the forcings  $\mathbb{L}$  and  $\mathbb{D}$  produce dominating reals, they kill all mad families. Consequently,  $\mathbb{C}$ ,  $\mathbb{M}$ ,  $\mathbb{S} \not\rightarrow \mathbb{L}$ ,  $\mathbb{D}$ .

According to Theorem 3.7.3 of [2] there is a  $\mathbb{L}$ -stable tall ideal which is not  $\mathbb{C}$ -stable. Thus for splitting families we have  $\mathbb{L} \not\rightarrow \mathbb{C}$ , which implies  $\mathbb{L} \not\rightarrow \mathbb{D}$  and  $\mathbb{M} \not\rightarrow \mathbb{C}$ .

Finally, by Theorem 3.7.4 of [2] there is a  $\mathbb{D}$ -stable,  $\mathbb{B}$ -unstable tall ideal. Thus for splitting families we have  $\mathbb{D} \not\rightarrow \mathbb{B}$  and, consequently,  $\mathbb{L} \not\rightarrow \mathbb{B}$ .  $\square$

## 8. On the existence of stable and unstable splitting families

**Theorem 11.** *Some splitting families are killed by all forcings which add new reals. Some forcings kill all splitting families on  $\omega$ . Consequently, each splitting family is killed by some forcing.*

**Proof.** According to Ramsey's Theorem, the family  $\mathcal{S}$  of all infinite chains and antichains of the tree  ${}^{<\omega}2$  is a splitting family (on the set  ${}^{<\omega}2$ ). If  $V[G]$  is a generic extension containing a new real, then in  $V[G]$  the tree  ${}^{<\omega}2$  obtains a new branch which is almost disjoint with each element of  $\mathcal{S}$ , so  $\mathcal{S}$  is not a splitting family in  $V[G]$ . On the other hand, if a forcing  $\mathbb{P}$  collapses  $\mathfrak{c}$  to  $\aleph_0$ , then each splitting family becomes countable, and, consequently, it is not a splitting family any more. Referee's remark: A more interesting forcing which kills all splitting families is the Mathias forcing.  $\square$

Thus the question concerning the existence of unstable splitting families is settled. What is going on with stability? Firstly by [6] (see also [1], p. 176) there holds.

**Fact 13.** *If  $\mathbb{P}$  is a Suslin forcing, then  $[\omega]^\omega$  is a  $\mathbb{P}$ -stable splitting family on  $\omega$ .*

So, since  $\mathbb{B}$  and  $\mathbb{D}$  are Suslin forcings (see e.g. [1], p. 168) according to Theorem 8 we have

**Corollary 3.** *For  $\mathbb{P} \in \{\mathbb{S}, \mathbb{M}, \mathbb{L}, \mathbb{C}, \mathbb{B}, \mathbb{D}\}$ ,  $[\omega]^\omega$  is a  $\mathbb{P}$ -stable splitting family.*

Now, are there stable splitting families which are smaller than  $[\omega]^\omega$ ? Concerning Cohen forcing, by Theorem 10 of [8] there holds:

**Theorem 12.** *Let  $\mathcal{S}$  be a splitting family on  $\omega$ . If  $|\mathcal{S}| < \text{cov}(\mathcal{M})$ , then  $\mathcal{S}$  is  $\mathbb{C}$ -stable.*

Regarding the Cohen stability we remark that, according to Theorem 9 of [8],  $\aleph_0$ -splitting families are  $\mathbb{C}$ -stable and, conversely, each  $\mathbb{C}$ -stable splitting family has a restriction to some  $B \in [\omega]^\omega$  which is an  $\aleph_0$ -splitting family. ( $\aleph_0$ -splitting families are introduced by Malyhin in [10].) In the sequel, using the methods from [2], we generalize Theorem 12.

**Lemma 6.** *Let  $\mathcal{T} = {}^{<\omega}2$  (respectively  $\mathcal{T} = {}^{<\omega}\omega$ ) and  $\mathbb{R} = 2^\omega$  (respectively  $\mathbb{R} = \omega^\omega$ ). Then for each family  $\mathcal{S} \subset [\omega]^\omega$  the following conditions are equivalent*

(a)  $\mathcal{S}$  is a splitting family;

(b)  $\forall f : \mathcal{T} \xrightarrow{1-1} \omega \quad \mathbb{R} = \bigcup_{S \in \mathcal{S}} G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]);$

(c)  $\forall \mathcal{B} \subset \mathcal{T} \quad \forall f : \mathcal{B} \xrightarrow{1-1} \omega \quad G_\delta(\mathcal{B}) \subset \bigcup_{S \in \mathcal{S}} G_\delta(f^{-1}[S]) \cap G_\delta(f^{-1}[\omega \setminus S]).$

The statement remains true if in (b) and (c) we replace '1 – 1' by 'finite-to-one'.

**Proof.** (a)  $\Rightarrow$  (c). Let condition (a) hold, let  $\mathcal{B} \subset \mathcal{T}$ ,  $f : \mathcal{B} \xrightarrow{1-1} \omega$  and  $x \in G_\delta(\mathcal{B})$ . Then the set  $f[\tilde{x} \cap \mathcal{B}] \subset \omega$  is infinite, so there is  $S \in \mathcal{S}$  such that  $f[\tilde{x} \cap \mathcal{B}] \cap S = \{f(x \upharpoonright n) : n \in N\}$  and  $f[\tilde{x} \cap \mathcal{B}] \setminus S = \{f(x \upharpoonright n) : n \in M\}$ , where  $N, M \in [\omega]^\omega$ . Hence  $\{x \upharpoonright n : n \in N\} \subset \tilde{x} \cap f^{-1}[S]$  so  $x \in G_\delta(f^{-1}[S])$  and similarly  $x \in G_\delta(f^{-1}[\omega \setminus S])$ .

(c)  $\Rightarrow$  (b) follows from the equality  $G_\delta(\mathcal{T}) = \mathbb{R}$ .

(b)  $\Rightarrow$  (a). Let condition (b) hold. Let  $A \in [\omega]^\omega$ . W.l.o.g. suppose  $|\omega \setminus A| = \aleph_0$ . We choose an  $x \in \mathbb{R}$  and a bijection  $f : \mathcal{T} \rightarrow \omega$  such that  $f[\tilde{x}] = A$ . By (b) there exists  $S \in \mathcal{S}$  such that the sets  $\tilde{x} \cap f^{-1}[S]$  and  $\tilde{x} \cap f^{-1}[\omega \setminus S]$  are infinite, thus, since  $f$  is a bijection, the sets  $A \cap S$  and  $A \setminus S$  are infinite too, that is the set  $S$  splits the set  $A$ .  $\square$

**Theorem 13.** Let  $\mathbb{P} = \text{Borel}(\mathbb{R}_{\mathbb{P}}) \setminus \mathbb{I}_{\mathbb{P}}$  be a real forcing such that

(i)  $\forall p \in \mathbb{P} \text{ cov}(\mathbb{I}_{\mathbb{P}} \restriction p) = \text{cov}(\mathbb{I}_{\mathbb{P}})$ ;

(ii) A splitting family  $\mathcal{S}$  on  $\omega$  is  $\mathbb{P}$ -stable iff

$$\forall \mathcal{B} \in \mathcal{T}_{\mathbb{P}}^+ \forall f : \mathcal{B} \xrightarrow{1-1} \omega \exists S \in \mathcal{S} \ G_{\delta}(f^{-1}[S]) \cap G_{\delta}(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_{\mathbb{P}}.$$

Then each splitting family  $\mathcal{S}$  of size  $< \text{cov}(\mathbb{I}_{\mathbb{P}})$  is  $\mathbb{P}$ -stable.

The statement remains true if in (ii) we replace ‘ $1-1$ ’ by ‘finite-to-one’.

**Proof.** Let  $\mathcal{S}$  be a splitting family and  $|\mathcal{S}| < \text{cov}(\mathbb{I}_{\mathbb{P}})$ . Let  $\mathcal{B} \in \mathcal{T}_{\mathbb{P}}^+$  and  $f : \mathcal{B} \xrightarrow{1-1} \omega$ . By the previous lemma we have  $G_{\delta}(\mathcal{B}) \subset \bigcup_{S \in \mathcal{S}} G_{\delta}(f^{-1}[S]) \cap G_{\delta}(f^{-1}[\omega \setminus S])$ , so, since  $p = G_{\delta}(\mathcal{B}) \notin \mathbb{I}_{\mathbb{P}}$  and since by (i)  $\text{cov}(\mathbb{I}_{\mathbb{P}} \restriction p) = \text{cov}(\mathbb{I}_{\mathbb{P}}) > |\mathcal{S}|$ , there must be an  $S \in \mathcal{S}$  satisfying  $G_{\delta}(f^{-1}[S]) \cap G_{\delta}(f^{-1}[\omega \setminus S]) \notin \mathbb{I}_{\mathbb{P}}$ . By (ii)  $\mathcal{S}$  is a  $\mathbb{P}$ -stable splitting family.  $\square$

**Theorem 14.** Let  $\mathcal{S}$  be a splitting family on  $\omega$ . Then

(a)  $|\mathcal{S}| < \mathfrak{c} \Rightarrow \mathcal{S}$  is  $\mathbb{S}$ -stable.

(b)  $|\mathcal{S}| < \mathfrak{d} \Rightarrow \mathcal{S}$  is  $\mathbb{M}$ -stable.

(c)  $|\mathcal{S}| < \mathfrak{b} \Rightarrow \mathcal{S}$  is  $\mathbb{L}$ -stable.

(d)  $|\mathcal{S}| < \text{cov}(\mathcal{M}) \Rightarrow \mathcal{S}$  is  $\mathbb{C}$ -stable.

(e)  $|\mathcal{S}| < \text{cov}(\mathcal{N}) \Rightarrow \mathcal{S}$  is  $\mathbb{B}$ -stable.

**Proof.** A  $\sigma$ -ideal  $\mathbb{I}_{\mathbb{P}}$  is called homogeneous iff for each Borel set  $B \notin \mathbb{I}_{\mathbb{P}}$  there exists a function  $f : \mathbb{R}_{\mathbb{P}} \rightarrow B$  such that  $f^{-1}[I] \in \mathbb{I}_{\mathbb{P}}$  for every  $I \in \mathbb{I}_{\mathbb{P}}$ . Then (see [12], p. 15) for each  $B \in \text{Borel}(\mathbb{R}_{\mathbb{P}}) \setminus \mathbb{I}_{\mathbb{P}}$  there holds  $\text{cov}(\mathbb{I}_{\mathbb{P}} \restriction B) = \text{cov}(\mathbb{I}_{\mathbb{P}})$ . Thus, since the ideals corresponding to the forcings  $\mathbb{S}, \mathbb{M}, \mathbb{L}, \mathbb{C}$  and  $\mathbb{B}$  are homogeneous (see [12]) these forcings satisfy condition (i) of Theorem 13. By Corollaries 1 and 2 they satisfy condition (ii) of Theorem 13 as well. Finally,  $\text{cov}(\mathbb{I}_{\mathbb{S}}) = \mathfrak{c}$ ,  $\text{cov}(\mathbb{I}_{\mathbb{M}}) = \mathfrak{d}$  (see [1]) and  $\text{cov}(\mathbb{I}_{\mathbb{L}}) = \mathfrak{b}$  (see [13]) and we apply Theorem 13.  $\square$

## Acknowledgements

The author would like to express his gratitude to the referee for constructive suggestions which improved the contents of the paper. Research supported by the MNZŽSRS (Project 144001: Forcing, Model Theory and Set-theoretic Topology II).

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